

Approved for use through 3/31/2007. OMB 0651-0021 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Inder the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. ATTORNEY'S DOCKET NUMBER

TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

037068.56908US

U.S. APPLICATION NO. (If known, see 37 CFR 1.5) **CONCERNING A SUBMISSION UNDER 35 U.S.C. 371** 10/556,062 INTERNATIONAL APPLICATION NO. INTERNATIONAL FILING DATE PRIORITY DATE CLAIMED PCT/EP2004/004812 May 6, 2004 May 8, 2003 TITLE OF INVENTION CONTROL ELECTRONICS INTEGRATED IN A BRAKE, PREFERABLY A DISC BRAKE APPLICANT(S) FOR DO/EO/US Johann BAUMGARTNER, et al. Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information: 1. This is a FIRST submission of items concerning a submission under 35 U.S.C. 371. 2. \boxtimes This is a SECOND or SUBSEQUENT submission of items concerning a submission under 35 U.S.C. 371. This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) 3. and (21) indicated below. The US has been elected (Article 31). A copy of the International Application as filed (35 U.S.C. 371(c)(2)) 5. is attached hereto (required only if not communicated by the International Bureau). has been communicated by the International Bureau. Is not required, as the application was filed in the United States Receiving Office (RO/US). An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)). is attached hereto. has been previously submitted under 35 U.S.C. 154(d)(4). 7. Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) are attached hereto (required only if not communicated by the International Bureau). a. b. have been communicated by the International Bureau. C. have not been made; however, the time limit for making such amendments has NOT expired. have not been made and will not be made. An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)). 8. An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)) (Two (2) pages). An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C 371(c)(5)). Items 11 to 20 below concern document(s) or information included: 11. An Information Disclosure Statement under 37 CFR 1.97 and 1.98. **12**. An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. 13. A preliminary amendment. 14. An Application Data Sheet under 37 CFR 1.76. **15**. A substitute specification. 16. A power of attorney and/or change of address letter. **17**. A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821- 1.825. A second copy of the published International Application under 35 U.S.C. 154(d)(4). 18. A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4). 19. 20. \boxtimes Other items or information: Response copy of Notification of Missing Requirements mailed November 9, 2006; Submission of

This collection of information is required by 37 CFR 1.414 and 1.491-1.492. The information is required to obtain or retain a benefit by the public, which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 15 minutes to complete, including gathering information, preparing, and submitting the completed form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

(2) Month Extension of Time with Credit Card form in the amount of \$450.00

Supplemental Application Data Sheet and Request for Correction with Supplemental Application Data Sheet, copy of originally filed Application Data Sheet and copy of marked-up Patent Continuity Data page from Private PAIR (Eleven (11) pages); Petition for Two

PTO-1390 (Rev. 02-2005)

Approved for use through 3/31/2007, OMB 0651-0021 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Inder the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. ATTORNEY'S DOCKET NUMBER U.S. APPLICATION NO. (if known, see 37 CFR 1.5) INTERNATIONAL APPLICATION NO. 10/556.062 PCT/EP2004/004812 037068.56908US The following fees have been submitted **CALCULATIONS** PTO USE ONLY Basic national fee (37 C.F.R. §1.492(a))\$300.00 21. 22. Examination fee (37 C.F.R. §1.492(c)) If the written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy All other situations.......\$200.00 Search fee (37 C.F.R. §1.492(b)) 23. If the written opinion of the ISA/US or the International preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority......\$100 International Search Report prepared by an ISA other than the US and provided to the Office or previously communicated to the US by the IB\$400 All other situations......\$500 TOTAL OF 21, 22 AND 23 = Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof. Number of each additional 50 or fraction **Total Sheets Extra Sheets** RATE thereof (round up to a whole number) - 100 *1* 50 = x 250 Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest \$130.00 claimed priority date (37 CFR 1.492(h)). CLAIMS **NUMBER FILED NUMBER EXTRA** RATE Total claims - 20 X 50 \$ - 3 Independent claims x 200 MULTIPLE DEPENDENT CLAIM(S) (if applicable) + 360 **TOTAL OF ABOVE CALCULATIONS =** Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by ½. \$ Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)).+ **TOTAL NATIONAL FEE =** Fee for recording the enclosed assignment (37 CFR 1.21 (h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property+ TOTAL FEES ENCLOSED = \$130.00 Amount to be refunded: Amount to be charged: A check in the amount of \$ to cover the above fees is enclosed. Please charge my Deposit Account No. 05-1323 (Attorney Docket No. 037068.56908US) in the amount of \$ to cover the above fees. A duplicate copy of this sheet is enclosed. C. The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 05-1323 (Attorney Docket No. 037068.56908US). Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038. NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status. SEND ALL CORRESPONDENCE TO: 00000126 10556062 Crowell & Moring, LLP 130.00 OP Intellectual Property Group SIGNATURE P.O. Box 14300 Jeffrey D. Sanòk NAME Washington, D.C. 20044-4300 32,169 Tel. No. (202) 624-2500 **REGISTRATION NUMBER** Fax No. (202) 628-8844 February 21, 2007 DATE



United States Patent and Trademark Office

UNITED STATES DEPARTMENT OF COMMERCE United States Patent and Trademark Office Address: COMMISSIONER FOR PATENTS P.O. Box 1450 Alexandria, Virginia 22313-1450

U.S. APPLICATION NUMBER NO. FIRST NAMED APPLICANT ATTY. DOCKET NO.

10/556,062 Johann BAUMGARTNER 037068.56908US

INTERNATIONAL APPLICATION NO.

PCT/EP04/04812

I.A. FILING DATE PRIORITY DATE

05/08/2003

23911 CROWELL & MORING LLP INTELLECTUAL PROPERTY GROUP P.O. BOX 14300 WASHINGTON, DC 20044-4300

CONFIRMATION NO. 6305
371 FORMALITIES LETTER

OC000000021147765

Date Mailed: 11/09/2006

NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated / Elected Office (37 CFR 1.495).

- Copy of the International Application filed on 11/08/2005
- English Translation of the IA filed on 11/08/2005
- Copy of the International Search Report filed on 11/08/2005
- Preliminary Amendments filed on 11/08/2005
- Information Disclosure Statements filed on 11/08/2005
- U.S. Basic National Fees filed on 11/08/2005
- Substitute Specification filed on 11/08/2005
- Priority Documents filed on 11/08/2005

The applicant needs to satisfy supplemental fees problems indicated below.

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.
- To avoid abandonment, a surcharge (for late submission of filing fee, search fee, examination fee or oath or declaration) as set forth in 37 CFR 1.492(h) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.

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Total additional fees required for this application is \$130 for a Large Entity	Attorney	AND THE RESIDENCE OF THE PARTY
	Docket #	
	Due Date	
	CHOU	Professionality (1 - annice the first of the second of the

• \$130 Surcharge.

ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 32 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

Registered users of EFS-Web may alternatively submit their reply to this notice via EFS-Web. https://sportal.uspto.gov/authenticate/AuthenticateUserLocalEPF.html

For more information about EFS-Web please call the USPTO Electronic Business Center at 1-866-217-9197 or visit our website at http://www.uspto.gov/ebc.

If you are not using EFS-Web to submit your reply, you must include a copy of this notice.

FRANCINE YOUNG

Telephone: (703) 308-9140 EXT 215

PART 1 - ATTORNEY/APPLICANT COPY

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
10/556,062	PCT/EP04/04812	037068.56908US

FORM PCT/DO/EO/905 (371 Formalities Notice)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application No.

: 10/556,062

Confirmation No.: 6305

First Named Inventor: Johann BAUMGARTNER

Filed

: November 8, 2005 : To Be Assigned

TC/A.U. Examiner

: To Be Assigned

Docket No.

: 037068.56908US

Customer No.

: 23911

Title

: Control Electronics Integrated in a Brake,

Preferably a Disc Brake

SUBMISSION OF SUPPLEMENTAL APPLICATION DATA SHEET AND REQUEST FOR CORRECTION

Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

Sir:

Submitted herewith is a Supplemental Application Data Sheet to correct the spelling of the name of the Assignee.

On the attached copy of the Notification of Missing Requirements mailed November 9, 2006, it was noted that the I.A. Filing Date was incorrect and the Priority Date was missing. We have attached a copy of the originally filed Application Data Sheet which lists this information correctly. We have also attached a marked-up printout from Private PAIR for your convenience. Please make a change to reflect the correct information.

Please charge any additional fee or credit any overpayment to the Deposit Account of Crowell & Moring, L.L.P., Account No. 05-1323, Docket No.: 037068.56908US.

Respectfully submitted,

February 21, 2007

Jeffrey D. Sanok

Registration No. 32,169

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JDS:lrd